USAID/OTI
Guide to Performance Management

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Forward

OTI's Guide to Performance Management is a tool to help OTI staff plan and manage the process of assessing and reporting on progress. It is based on "The USAID Performance Management Toolkit" and The USAID Performance Management Workshop that was sponsored by USAID/PPC in conjunction with Pricewaterhouse Coopers, as well as on monitoring and evaluation literature gathered from the World Bank, the Canadian International Development Agency, Oxfam, and other sources.

We hope that this document will help OTI's country teams design a monitoring plan that will enable OTI programs to make sure that their program is on track, to identify other potential interventions, and to re-target the program if necessary. We hope too that this Guide will make the process of documenting progress and reporting on results more efficient.

Feedback on this document is essential--we do not assume that there is a 'one-size-fits-all' approach to monitoring. We want to know what works in this toolkit and, more importantly, what does not work. It is our intention to update this Guide on a regular basis and to incorporate examples from OTI programs so that it becomes a history of OTI's performance monitoring.

We look forward to receiving your comments on this as you work through the project cycle.

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Washington, D.C.

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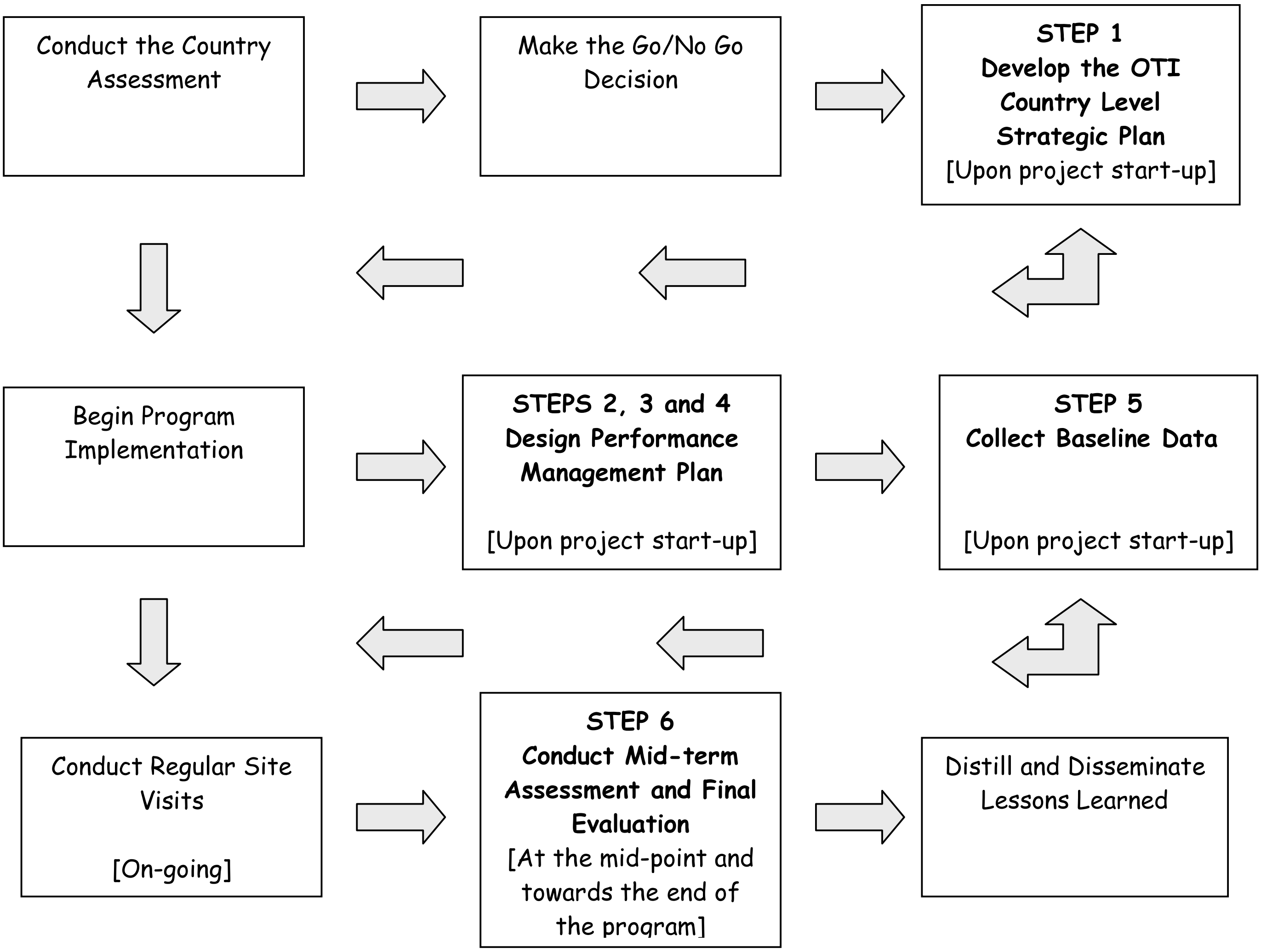
Overview of OTI's Performance Management Process

From initiation and start-up to the final evaluation and hand-off, OTI programs generally follow the course detailed below. At different points along this continuum certain critical inputs into the performance management plan are needed. These inputs are highlighted in bold and are discussed in detail throughout this Guide. Performance management, which is an on-going activity, should flow throughout this process.



A good Performance Management Plan (PMP) will enable OTI staff to make decisions about what activities to support or what to change, will serve as a reference to guide results, and will provide you with valuable information that helps you "tell your story" better.

Designing a PMP requires coordination between both the country program and the Program Development Team. While long-term development programs have the luxury of long time horizons in which to show results, OTI programs, which commonly operate in a two or three year timeframe, do not. OTI's challenge is to design a plan that works within this period. Program goals, objectives, and indicators must be realistic and flexible enough to allow for changes that reflect the dynamic political, social, and economic environments in which OTI typically operates.

OTI programs should include funds in their budgets for final evaluations. Mid-term assessments, however, can typically be conducted in-house by staff from the Program Development Team or the Bull Pen (OTI's Senior Field Advisors.)

It will be up to the OTI Country Representative to hire either full-time performance monitoring staff, or to design the job descriptions of local staff to include performance monitoring responsibilities. OTI programs have approached this differently. In the Philippines, for example, OTI hired staff with specific monitoring duties. Local staff members worked extensively with the communities to monitor and report on the program's progress. In both East Timor and Serbia-Montenegro, OTI has also assigned staff to permanent monitoring duties. In other OTI countries, such as Peru and Sierra Leone, monitoring is just one part of local staff's responsibilities.

Step 1: The Big Picture - Define the Program's Strategic Plan

Once OTI has decided to initiate a country program, one of the country program's first tasks is to define the goals and objectives of the program. This should take place preferably within the first three months. From this framework all other elements of the performance management plan will follow, and for that reason it is crucial that the goals and objectives are as clearly defined as possible. The country program should work closely with the Program Development Team during this process -- especially at the early stages when goals, objectives, and indicators are developed.

Consider this framework a living document: as your program changes in response to political fluctuations, so will your objectives and related activities. It is not the goal of this Guide to lock your program into a two-year strategy that may become obsolete based on political, social, and economic changes that may occur within the country. Rather, the goal is to develop a strategic method of assessing and identifying your program's progress.

GOALS
Where are you going?

↓

OBJECTIVES
What are you trying to achieve?

↓

ACTIVITIES
How will you achieve your objectives?

↓

MONITORING and EVALUATION
How will you know if you have reached your objectives?

The first step in developing a country-level strategic framework is to write the goal statement. The goal statement should reflect the longer-term impact of the OTI country program.

Sample goals from OTI country programs:

Kosovo Program Goal: To maximize the number of Kosovars involved in participatory decision making and the future development of democracy in Kosovo.

East Timor Program Goal: To encourage an environment conducive to the democratic nation-building process during East Timor's transition to independence.

Use the sample Performance Management Plan in ANNEX 1 as you work through these steps

After you have written your project's goal statement, define the objectives that will help you achieve this goal. An objective is a discrete result or outcome that is thought to be necessary to achieve the program's goal. Brainstorm a number of objectives, but settle on a handful that are critical to reaching your goal.

Objectives should be:

- Measurable
- Realistic
- Related to the activities that are being implemented
- Clear about what type of change is implied. What is expected to change -- a situation, a condition, the level of knowledge, an attitude, or a behavior?
- One dimensional -- they should be directed towards one outcome only.
- Achievable in OTI's timeframe

✓ Is there a causal link from the Goal to the objectives? Is the achievement of one result necessary for the achievement of the other?

✓ Is the causal connection between the Objectives, or between the Goal and an Objective, direct? In other words, it should not be necessary to infer other objectives to understand this linkage.

Sample OTI Program Objectives (refer to the goals cited on page 7):

Kosovo Objectives:

- To help citizens exercise political influence in their communities.
- To support the conditions necessary for the development of moderate, local leadership.
- To assist Kosovars to mobilize resources to meet community-identified priorities.

East Timor Objectives:

- To stabilize communities by addressing gaps in local social services and economic infrastructure.
- To promote production of accurate and balanced information.
- To broaden participation in the political transition process.

Once the program's objectives have been designed, the country team should identify the different programmatic activities that the program will initiate. By implementing these activities the program will make progress towards its stated objectives.

Sample OTI Program Activities (refer to the objectives cited above):

Kosovo Activities:

- Form Community Improvement Councils to enable citizens to organize themselves and engage in political activities.
- Sponsor town hall meetings, public hearings, and civic awareness activities.

East Timor Activities:

- Strengthen professional, independent print and electronic media outlets and expand media coverage.
- Strengthen civil society organizations through grants and in-kind contributions.
- Target small-scale interventions that support community normalization by focusing on gaps in local social services and infrastructure.
- Support reintegration efforts through training of internally displaced persons.

Step 2: Choose Your Indicators

Once you have your framework in place and have begun to implement activities that support your goals and objectives, you will need to have a means of determining whether or not your program is on track. One of the easiest ways to do this is to identify indicators that will help you measure progress towards achieving your expected results. These indicators should be directly related to the objective they are trying to measure.

> **Key Definition: Indicator**
> A particular characteristic or dimension used to measure intended change. Used to observe progress and to measure actual results compared to expected results. Serve to answer the "how" and "whether," rather than "why" or "why not." Usually expressed in quantifiable terms and should be objective and measurable.
> *An indicator can be a measurement, number, fact, opinion or perception.*

Indicators should be:

- **Direct:** It should closely track the result it is intended to measure.
- **Objective:** It should be unambiguous about what is being measured and what data are being collected.
- **Practical:** An indicator is practical if data can be obtained in a timely way and at a reasonable cost.
- **Sensitive:** In order to capture change over short time intervals.
- **Attributable to OTI:** They should reflect the actual performance of the strategy.

Although quantitative indicators are often easier to obtain and track, qualitative indicators are often better able to capture democratic change and political development. As such, OTI programs are advised to identify both types of indicators when designing their monitoring plan. In this way OTI will have a well-rounded method of measuring change over time.

Quantitative Indicators
Definition: Measures of quantity.
Data Collection Methods: Statistical analysis, questionnaires, census.
Examples: Change in voting rates, number of ex-combatants reintegrated into their community.

Qualitative Indicators
Definition: Peoples' judgments or perceptions.
Data Collection Methods: Semi-structured interviews, testimonials, focus groups, observation.
Examples: Level of job satisfaction, quality of participation in community development activities, perceptions of public service announcements (PSAs).

When designing the monitoring plan, OTI staff should also think about identifying both output and impact indicators. Output indicators simply measure the output of activities, such as the number of participants at a workshop, the number of radio broadcasts, or the number of town hall meetings. Because of OTI's short timeframe, output indicators may at times be the only means of measuring progress towards objectives. In addition to output indicators, OTI should strive to identify impact indicators. These indicators are better able to capture the fundamental change in people's behavior as a result of the OTI program. For example, impact indicators can reflect the number of NGOs engaged in peaceful demonstrations, or the number of non-violent contacts among parties where OTI is present.

Definition of Inputs: Activities funded by OTI, such as workshops or Public Service Announcements (PSAs).

Definition of Output Indicators: Immediate quantifiable results from an input. For example, radio broadcasts or the number of workshop participants as a result of OTI assistance. *In the early stages of an OTI program, output indicators may be the only way of measuring progress made towards accomplishing objectives.*

Definition of Impact Indicators: Measures changes in attitude, perception, or behaviors that result from OTI's program. For example, the degree to which NGOs engage in peaceful demonstrations, the number of objective newspaper articles about the military as a result of OTI's activities.

When identifying indicators that best fit the country program's objectives, think about using the following four-step process as a guide.

Step 1: Develop a list of potential indicators

Step 2:Assess Indicator quality
Are the indicators direct, objective, practical?

Step 3: Select the best indicators
Limit the number of indicators used to track each objective to two or three. Select only those that represent the most basic and important dimension of the project. Be selective -- remember the costs associated with data collection and analysis.

Step 4: Input the indicators into the Performance Management Plan
Use the chart in Annex 1 as your PMP worksheet

Sample Performance Monitoring Plan for OTI/Peru:

Goal: To support the transition to a functioning democracy in Peru following the political transition that began in November, 2000.

Objectives:

- Strengthen Congress' ability to enact defense policy and make decisions related to defense and security in an informed and participatory fashion.
- Improve quality and quantity of media coverage of defense and security matters in national and local media.

Activities:

- Hold public events in which civil society discusses proposals and initiatives related to defense, security and military reforms.
- Design information campaigns on the roles and responsibilities of the military in a democratic society.
- Train journalist on how to report on military and defense issues.
- Host workshops on issues related to defense and security and the role of the media in civil-military relations.

Indicators:	Data Collection Method and Source:	Frequency of Collection:	Responsibility:
# of legislative initiatives proposed in the Congress.	Congressional web site.	Per legislature	Program Officer
# of related legislative proposals submitted to a process of public debate.	Congressional web site, monitoring of selected media, grantee reports	On going	Program Officer
# of articles in selected media related to defense and security issues.	Monitoring of selected media	On going	Program Officer/Contractor
# of journalists reporting on defense and security issue in selected media.	Interviews or surveys	Ongoing	Program Officer/Contractor

Step 3: Choose Your Data Collection Methods

Once you have chosen a handful of indicators that will enable you to measure your program's progress, the next task is to identify tools for capturing information on these data. In OTI's context, it is critical that the collection methods be low-cost, simple, and not time intensive. Each country program will need to strike the right balance of collecting data based on staff resources and the amount of time that it is available.

The following are different methods that OTI staff can use to collect data on the indicators that the country program has defined. They range from highly qualitative methods, to the more formal and costly quantitative methods. The task of each OTI country program is to identify the methods that work best for the program.

Refer to the OTI/Peru Example to Match Indicators with Appropriate Data Collection Methods

Qualitative Data Collection Methods:

✓ Community interviews
These take place at public meetings open to all community members. Interaction is between the participants and the interviewer, who presides over the meeting and asks questions following a carefully prepared interview guide.

There is a risk of one-sidedness or bias in the selection of the interviewees, or the risk of an interviewer's lack of objectivity. In addition, not all interviewees may feel comfortable discussing issues in this environment. This method should be used in conjunction with other methods.

✓ Mini-surveys
Involves 25 to 50 individuals, usually selected using non-probability sampling techniques. Structured questionnaires that focus on a limited number of

closed-ended questions are used. Generates quantitative data that can often be collected and analyzed quickly.

✓ **Semi-structured interviews**
Less formal than formal interviews, semi-structured interviews allow for conversation and the exchange of information. Preparation usually involves outlining broad areas of inquiry leaving specific questions to be formulated during the interview itself.

✓ **Focus group interviews**
A focus group interview is an inexpensive, rapid appraisal technique that can provide managers with a wealth of qualitative information on performance of development activities, services, and products, or other issues. A facilitator guides 7 to 11 people in a discussion of their experiences, feelings, and preferences about a topic. The facilitator raises issues identified in a discussion guide and uses probing techniques to solicit views, ideas, and other information. Sessions typically last one to two hours. Focus group interviews can be useful in all phases of planning, implementing, monitoring, and evaluating. They can be used to solicit the views, insights, and recommendations of program staff, stakeholders, technical experts, or other groups.

The risk of focus groups is that it is highly demanding. It requires good background knowledge, well-formulated questions, and experience managing similar situations. Focus groups can be complemented with interviews and direct observations.

✓ **Testimonials**
A testimonial is a narrative told in the first person. To gather testimonials, an evaluator records a person's thoughts, feelings, and experiences as they are recounted. Testimonials can help reveal how a community development project engaged the community in democratic decision-making processes, or how a person's attitudes or perceptions were changed as a result of a project. Testimonials can also help corroborate other sources of data and information and provide a more personal insight into a project's achievement.

✓ **Key informant interviews**
Qualitative, in-depth individual interviews of 15 to 35 people selected for their first-hand knowledge about a topic of interest (media, civil society, civilian-military relations, etc.) The interviews are loosely structured, relying on a list of issues to be discussed. Key informant interviews resemble a conversation among acquaintances, allowing a free flow of ideas and information. Interviewers frame questions spontaneously, probe for information and take notes, which are elaborated on later.

Requires well-chosen interviewees, and a somewhat structured interview guide.

✓ **Direct observation**
Teams of observers record what they see and hear at a program site, using a detailed observation form. Observation may be of physical surroundings or of ongoing activities, processes or discussions.

A very useful method when the goal is to understand socio-cultural situations. It can help place information gained from interviews or questionnaires in the appropriate context. A disadvantage may be that this method demands a great deal of time, and quality depends on the skills of the evaluator.

✓ **Beneficiary Assessment**
Builds on the experience of participant observation and involves the participation of beneficiaries in assessing a planned or on-going activity. It seeks to ground and illuminate quantitative data by direct observation and letting beneficiaries' voices values, and beliefs be expressed.

Quantitative Data Collection Methods:

✓ **Questionnaires**
Can be disseminated and collected following events, workshops, and conferences so that participants may report on how the event has, or has not, impacted their work. Questionnaires can be very useful when administered at the end of workshops or courses.

One disadvantage may be low levels of literacy, or participants' limited experience filling out questionnaires. Also, experience has shown that the reply frequency is extremely low in extensive questionnaire surveys.

✓ **Polls/Surveys**

These can be contracted out to locally based firms if the capacity exists, or to international firms if necessary. The primary criteria in selecting an appropriate poll/survey firm, is its methodological knowledge and expertise. OTI staff should continuously collect other donors' surveys and polls and forward them regularly to the Program Development Team.

Guidelines for Developing and Using Data Collection Tools:

Collection Method	Guidelines
Focus groups, community interviews, informal surveys, etc.	• Define the problem and formulate the research question • Identify the sample population • Carefully choose a facilitator • Generate/pre-test the interview guide • Recruit the sample • Conduct the interviews, meetings, focus groups, survey, etc. • Analyze the data and share the results with stakeholders
Surveys	• Develop applicable questions • Establish a survey plan • Develop a sampling protocol that includes methods for data collection and analysis • Develop the questionnaire • Field test the questionnaire • Conduct the survey • Analyze data and share the results with the stakeholders

Consider Data Bias:

Interviewer bias:	Interviewers who gather data through surveys or focus groups with program beneficiaries may inject their own bias, either intentionally or not. Likewise, different interviewers may not ask questions in the same way.
Instrument/Measurement bias:	Instruments can be biased, for example, if a different instrument is used for the beneficiaries and for the control group. Instruments may also be written in a way to sway people to give one response over another.
Response bias:	If large group of beneficiaries who share common characteristics choose not to answer a survey question, they may bias the results by not having their response included.
Recall bias:	If respondents are asked to respond to questions that require them to think back and comment on conditions in the past, they may recall conditions differently from the reality of the time.
Time or seasonal bias:	Some data may be biased if they are collected at different times of the day or during different seasons of the year.

Step 4: Complete the Performance Management Plan

A copy of a blank Performance Management Plan (PMP) is attached in **Annex 1.** A PMP is the matrix that ties the first four steps of the strategic planning process together. It helps you organize, plan, and document the collection of data that will be used in monitoring. It is a tool that organizes the "Five Ws" (what, who, when, how, and why) of monitoring. It discusses the data that needs to be collected, who is responsible for collecting the data, how and when that data will be collected, and how the data will be used.

The PMP not only guides OTI staff in monitoring country programs, but it also helps ensure consistency throughout the monitoring process. A comprehensive PMP will explain the monitoring system to any new member of the team, or to external evaluators.

The format of the PMP is as follows:

Indicators to be Tracked: [What is the measure that tracks progress?]	**Data Collection Method and Source:** [Where is the data coming from and how will it be collected?]	**Frequency of Collection:** [How often will data be collected?]	**Responsibility:** [Who is responsible for collecting and reporting on the data?]

The PMP is made up of **four major columns**. They are:

Indicator: This is the measure that tracks progress. Be sure that you have a mix of quantitative and qualitative data that not only gauge output, but also impact.

Data Collection Method and Source: Refer to Step 4 when selecting your data collection method. Collection methods can range from formal surveys to informal interviews and observations. If you will use other sources (grantee reports, evaluations conducted by other organizations, census data, etc), be sure to indicate where this data will come from.

Frequency of Collection: Given the short timeframe in which OTI works, it is important to have a PMP that is sensitive to change over time. At a minimum, data should be collected twice a year.

Responsibility: It is important to clarify roles and responsibilities for gathering information required in the PMP. Will the responsibility for gathering data be with the OTI staff member, a local grantee, or with the US grantee or partner? It is important that everyone involved in the process have a clear understanding of his or her responsibilities.

Step 5: Conduct a Baseline Study

Once you have your strategic plan in place, have identified a handful of indicators and the methods by which you will collect data, the next step is to prepare for a baseline study. Baseline survey data serve as a benchmark from which to measure change at a later point in time. *It is very difficult, if not impossible, to measure change over time without baseline data.*

> **Key Definition: Baseline Study**
> A baseline study is defined as the collection of primary and secondary data which describe and analyze the situation in a certain area at a certain point in time.

The baseline study will be used for a number of purposes:

- To plan activities needed to attain the goals of the project.
- To determine the needs of the target groups.
- To design the monitoring system and to be able to continuously measure changes in relation to the benchmark.
- To check that the project is moving in the desired direction, or make changes if it is not.

A baseline study should be carried out soon after project implementation begins and once you have a pretty clear understanding of the program's goal, objectives, activities, and indicators. Because the baseline study is designed to collect data on the indicators that your program has identified as the most effective, this study should not be conducted before all other steps are in place. In addition, a baseline study may be conducted when a major program change is required, for example, after national elections have been held and significant re-targeting is required.

In most cases it is unrealistic to expect that OTI staff, or implementing partners, will be the ones who will actually conduct the baseline study. Generally it is best to contract with a local survey research firm and ensure that OTI field staff provide strong input and guidance throughout the design of the baseline. This is critical if OTI expects to receive a baseline study that accurately represents the program that is being implemented.

Step 6: Plan for a Mid-term Assessment and a Final Evaluation

Evaluations are a learning and management tool and an assessment of what has taken place in order to improve future work. Measuring, analyzing, and interpreting change helps OTI staff determine if objectives have been achieved, whether the initial assumptions were right, and identify the program's effectiveness, efficiency, and impact. Evaluation uses information gathered during regular monitoring, but requires additional information as well. It often uses baseline information, information collected at the very beginning of a project, against which progress can be measured. Evaluations happen at set times in a project's life, and look at the relevance, effectiveness, and impact of a project.

Key Definition: Evaluation (ADS 203.3.4)
"Evaluation is a relatively structured, analytical effort undertaken to answer specific program management questions."

Evaluations tend to be carried out as end-of-program activities to ascertain final impact and measure actual achievement of planned objectives. Sometimes mid-term evaluations are also carried out to ensure the relevance and effectiveness of the program activities to date. Evaluators are not necessarily connected with the program on a day-to-day basis.

Key Definition: Monitoring
Generally done by staff who are directly involved with project management. They ask basic questions: Are the objectives being met? What is the result of a given activity?

Evaluations are carried out:
To improve performance and identify problems and constraints, and to identify what is working well and what should be built upon, and what should be abandoned.
To check whether or not objectives have evolved.
To keep the different people involved in the project informed about progress or the need for change.
To make choices and decisions.
To learn lessons and share results.
To increase accountability and ensure that funds are being used effectively.

Mid-term Assessments should take place as close as possible to the mid-point of the country program. They may be conducted by outside evaluators, members of the Program Development Team, or members of the Bull Pen (OTI's Senior Field Advisors). They typically last from 10 to 21 days, and incorporate semi-structured interviews and site visits at a minimum. Mid-term Assessments are designed to capture impact generated by the program to date, and to identify what is working and what may need to be re-targeted.

Final Evaluations, on the other hand, must take place towards the end of a country program, preferably within the last three months while there is still an OTI field office that can provide guidance and logistical support. *Unlike Mid-term Assessments, Final Evaluations should, to the extent possible, be conducted by individuals who are not associated with OTI.* The goal of a final evaluation is to have as objective a product as possible.

At other times an evaluation may be called for when a problem is identified by monitoring or on-going evaluation, and it is decided to investigate further.

Evaluation results are used for:
Steering: To provide information to assist in steering the project towards its objectives. This primarily concerns evaluations of ongoing projects or projects that are being re-targeted.
Drawing attention to problems: To illuminate and analyze the problems and constraints of the project.
Checking: To ascertain whether or not the objectives been achieved.
Generating lessons learned: To transfer knowledge to other projects.
Questioning: Evaluation results, particularly unexpected ones, may question what is being done and may give rise to debate concerning objectives, program design, indicators.

Good evaluations achieve the following:

- Provide new knowledge and contribute to organizational learning rather than merely confirm what is already known.
- Carried out from an independent perspective, using innovative approaches.
- Have credibility. The degree of credibility is, among other things, dependent on the quality of the evaluator, survey methods used, the expression of both positive and negative findings, and the degree of open and critical discussion concerning the evaluation implementation and conclusions between the various interested parties.
- Are timely: the results are presented at a point when this type of information is needed. This demands advanced planning on the part of those designing the evaluation.

- Results are utilized. This requires that conclusions and possible recommendations are relevant, that credibility is high, that they are presented clearly and understandably, and that they are disseminated to interested parties.

The choice of who should evaluate will depend in large part on the purpose of the evaluation, and the stage of the project at which the evaluation happens.

Advantages and Disadvantages of Internal OTI Evaluators:

Advantages:
- Knows the organization, program and ways of working.
- Understands and can interpret personal behavior and attitudes.
- Because known to staff, less likely to disrupt the project.
- Usually less expensive.
- Does not require lengthy recruitment procedure.
- Helps to develop internal evaluation capacity.

Disadvantages:
- Finds it harder to be objective.
- May avoid negative conclusions which might reflect badly on individuals or the organization.
- Tends to accept assumptions of organization uncritically.
- May not be fully trained or experienced in evaluation.
- May not have necessary technical expertise.

Advantages and Disadvantages of External Evaluators (non-OTI staff):

Advantages:
- Not personally involved, so may be more objective.
- Free from organizational bias, can contribute a fresh perspective.
- May be trained and experienced in carrying out evaluations.

Disadvantages:
- May not fully understand the organization policies, procedures, personalities, and ethos, or the severity of the problem that OTI is trying to address.
- May not fully understand local political and cultural context.
- May be seen as a critical adversary, arousing anxiety and defensiveness.
- May be expensive.
- Takes time to recruit, brief, and orient.
- Less likely to be able to follow-up on recommendations.

ANNEX 1: SAMPLE PERFORMANCE MANAGEMENT PLAN (PMP)

Country Goal:

Objectives:

Activities:

Indicators to be Tracked: [What is the measure that tracks progress?]	**Data Collection Method and Source:** [Where is the data coming from and how will it be collected?]	**Frequency of Collection:** [How often will data be collected?]	**Responsibility:** [Who is responsible for collecting and reporting on the data?]

ANNEX 2: USEFUL RESOURCES

ADS 200 Series: USAID Programming Policies
http://www.usaid.gov/pubs/ads/2000/

Development Information Services
http://cdie.usaid.gov/dis

Economic and Social Data Services
http://cdie.usaid.gov/esds

Handbook of Democracy and Governance Program Indicators
http://www.dec.org/pdf_docs/PNACC390.pdf

Krishna Kumar "Rapid Low Cost Data Collection Methods for USAID"
http://www.dec.org/pdf_docs/PNAAL100.pdf

The following USAID TIPS can be found at:
http://www.dec.org/usaid_eval/#004

TIPS 1: Conducting a Participatory Evaluation
TIPS 2: Conducting Key Informant Interviews
TIPS 3: Preparing an Evaluation Scope of Work
TIPS 4: Using Direct Observation Techniques
TIPS 5: Using Rapid Appraisal Methods
TIPS 6: Selecting Performance Indicators
TIPS 7: Preparing a Performance Monitoring Plan
TIPS 8: Establishing Performance Targets
TIPS 9 Conducting Customer Service Assessments
TIPS 10: Conducting Focus Group Interviews
TIPS 11: Role of Evaluation in USAID
TIPS 12: Guidelines for Indicator and Data Quality
TIPS 13: Building a Results Framework
TIPS 14: Monitoring and Policy Reform Process
TIPS 15: Measuring Institutional Capacity

Measuring Community Success and Sustainability
http://www.ncrcrd.iastate.edu/Community_Success/perform.html

Learning and accountability in humanitarian settings - monitoring and evaluation website with useful links
http://www.alnap.org/

ANNEX 3: KEY DEFINITIONS

Activities: Work undertaken to produce outputs and impact.

Baseline: The collection of primary and secondary data which describe and analyze a situation at a certain point in time in order to measure changes over time.

Evaluation: A relatively structured, analytical effort undertaken to answer specific program questions. Evaluations tend to be carried out at the end of a program to measure actual achievement of planned objectives and ascertain final impact.

Goal: The longer-term impact of the project. The higher-order program objective to which the project contributes.

Impact: Changes in attitudes, perception, or behaviors as a result of a series of inputs. In the OTI lexicon, impact is used interchangeably with the terms 'results' and 'outcomes.'

Indicator: A particular characteristic or dimension used to measure intended change. Used to observe progress and to measure actual results. Indicators should be direct, objective, practical, and sensitive to change over time.

Input: Program activities.

Monitoring: Routine analysis of a program that is generally conducted by those directly involved in the management of the program.

Objective: What we hope to achieve during the life of the program. The objective should be measurable, objective, and realistic. There should be a causal relationship between the goal and the objective.

Output: Immediate, quantifiable results from a given input.

Qualitative
Indicators: People's judgments or perceptions gathered through formal or informal interviews, testimonials, focus groups, or observation.

Quantitative
Indicators: Measures of quantity gathered from statistical analysis, questionnaires, census data.

ANNEX 4: EXAMPLE OF OTI/KOSOVO'S 'CHARACTERISTICS OF STAGES OF DEVELOPMENT'

In conjunction with OTI's Kosovo staff, Associates in Rural Development (ARD) developed a matrix of stages of development in order to illustrate the program's impact on the development of political processes by both program area and region.[1] Similar matrices may be developed for other OTI programs using the OTI/Kosovo approach.

Communities and Local Governance:

Nascent	Emerging	Expanding	Mature
• Communities demonstrate ability to regroup after crisis in absence of formalized governance structure. • Solidarity within communities evidenced by willingness to address immediate needs. • Some citizen groups begin to act towards improving environment. • Decision-making tends to be made by a few and in non-representation of entire community.	• International governance structures operating. • Community demonstrates ability to articulate goals in terms of needs. • Larger community audience begins to become part of decision-making process. • Recognition of need for locally elected governance structure exists.	• Local governance structures elected and beginning to operate. • Grassroots community organizations more independently articulating needs to elected officials. • Accountability and transparency become issues for local communities. • Issues of diversity in representation begin to be addressed by community.	• Formalization of interaction between municipal structures and communities to address needs and accomplish goals. • Diversity of community represented in governance and grassroots structures. • Local government officials are fully accountable to community and operate in transparent manner.

Media:

Nascent	Emerging	Expanding	Mature
• Government controlled print and electronic media predominates, • Independent media nominal and may operate partially in exile.	• Proliferation of media outlets, evidence of improvements in media infrastructure. • New technical equipment available	• Some media groups generating income and showing evidence of sustainability. • Media organizations incorporate newer technologies into	• Media organizations are secure and free from intimidation and control. • Media is unbiased and objective in reporting on news events.

[1] The complete final evaluation, "Transitioning to Long-Term Development: An Evaluation of the USAID/OTI Program in Kosovo." ARD, November 2001, is on the OTI website: www.usaid.gov/hum_response/oti/pubs.html

• Equipment lacking, little networking among members of the media. • Few resources exist. • Standards of journalistic professionalism minimal.	making external contact possible. • Issues of licensing and spectrum management entertained, citizens experience increased access to information from news sources. • Journalistic standards improve but are uneven across region.	operations. • Regulations and standards established. • Media becomes critical in coverage of news events, investigative reporting skills improve. • Association of journalists has been organized.	• Most media organizations self-sustainable.

NGOs:

Nascent	Emerging	Expanding	Mature
• Role of NGOs in civil society not clear to majority of the population. • Limited number of high profile NGOs operating mostly in capital city. • NGOS focus on providing humanitarian services. • Absence of recognized legal parameters for NGOs. • Funding not diversified.	• Role of NGOs in civil society beginning to be discussed. • As external influences increase, number of organizations grow and roles change. • Basic legal structures for NGOs in place. • Community outreach and services broaden. • Regionally based NGOs organize, funding base limited.	• NGOs define missions and goals. • Community begins to understand role of NGOs in civil society. • Training and professionalism of NGO leadership. • Organizations creating networks and beginning to understand their role in citizen advocacy. • Recognition of importance of accountability to citizens. • Full legal regulations exist.	• NGOs are able to clearly define their mission in civil society. • Citizen advocacy role defined and when appropriate organizations working together in coalition. • NGOs addressing issues of sustainability by diversifying funding base.

Characteristics of Stages of Development in Kosovo Communities:

Program Area	Regional Office	Nascent Stage	Emerging Stage	Expanding Stage	Mature Stage
Communities & Local Governance	Ferizaj				
	Gjakova				
	Gilan				
	Mitrovica				
	Peja				
	Pristina				
	Prizren				
Media	Ferizaj				
	Gjakova				
	Gilan				
	Mitrovica				
	Peja				
	Pristina				
	Prizren				
NGOs	Ferizaj				
	Gjakova				
	Gilan				
	Mitrovica				
	Peja				
	Pristina				
	Prizren				

ANNEX 5: SAMPLE INDICATORS[2]

The following indicators may be useful in the development of Performance Monitoring Plans for OTI country programs. The challenge, however, will be to identify the appropriate data collection methods that are sensitive enough to capture information on these indicators.

Objective: To promote the respect for human rights.	**Indicators**
	• # of OTI trained human rights monitors deployed as a result of OTI program • increase in the # and membership of human rights advocacy groups in areas with OTI program activities • Ratification and adoption of internationally accepted human rights laws by the state (as a result of OTI program) • Creation of a functioning human rights commission, human rights courts, or ombudsperson as a direct or indirect result of OTI program • % of increase in number of citizens who know about their legal rights as a direct or indirect result of OTI program • % of increase in number of citizens who know how to access the legal system as a result of OTI program • Increase in # of public defenders as a result of OTI program
Objective: To promote tolerance and reconciliation	**Indicators**
	• Increase in the # of community projects where parties to the previous conflict cooperate as a result of OTI program • Increase in the # and % of targeted communities that have assimilated returnees into the community • # and % of targeted groups educated in peaceful conflict resolution methods as a result of OTI program

[2] These indicators were originally developed for OTI by Samuel Taddesse, Linda Bruce, Heather McHugh, Sylvia Fletcher, and Dina Esposito.

Objective: To increase civilian control over the military	**Indicators**
	• Increase in the # of public meetings on military and security issues and civilian-military issues as the result of OTI program • Increase in the # of balanced TV and radio broadcasts and newspaper articles discussing the military and security issues as a result of OTI program • Increase in the # of mechanisms (such as citizen participation in forming and reviewing security rules and regulations, complain boards, public hearings, etc.) that can be utilized by citizens to exert control over security matters as a result of OTI program
Objective: To promote freedom of expression	**Indicators**
	• Creation of new opposition political parties as a result of OTI program • Increase in the # of rallies and demonstrations against or in support of specific government policies as a result of OTI program • Increase in the level of political activism among citizens (i.e. voting, talking about political issues, involvement with political parties, writing letters to the editor about public etc.) as a result of OTI program
Objective: To expand civil society	**Indicator**
	• Creation of legal frameworks for the formation, functioning, and protection of civic organizations as the result of OTI program • Increase in the number of civic organizations as a result of OTI program • Increase in the # and % of citizens who are members of civic organizations as a result of OTI program • Increase in the # and % of civic groups representing marginalized or disadvantaged citizens as the result of OTI program

Objective: To increase the effectiveness of civil society organizations	**Indicators**
	• Increase in the level of citizens' understanding of the role that civil society organizations play in public policy decision making • Increase in the # of advocacy campaigns conducted by civil society organizations as a result of OTI programs • Increase in the number of new or changed government policies and procedures as a result of civil society organization advocacy campaigns • Increase in the # of policy issues initiated by civic groups and debated by the legislature as a result of OTI programs as a result of OTI programs • Increase in the # of civil society organizations publishing bulletins (newsletters, reports, activities) • As a result of the OTI program, the # of civil society organizations that initiate media reports on their activities/accomplishments (through news releases, radio interviews, etc.)
Objective: To promote more responsive government	**Indicators**
	• Creation of government established mechanisms that are in place to provide citizens with opportunities to participate in setting policies and procedures • Increase in the # of laws and regulations enacted that reflect citizen participation in public debates • Increase in the % of citizens who believe that the executive branch has transparent decision making processes and is responsive to public concerns

<table>
<tr><th>Objective: To increase the capacity of local government</th><th>Indicators</th></tr>
<tr><td></td><td>Increase in the % of citizens in targeted local government jurisdictions who feel that the local government is competently addressing their priority concerns
Increase in the # and % of citizens attending and participating in local town meetings to discuss issues of common interest and priorities</td></tr>
<tr><td>Objective: To increase availability of and access to balanced information</td><td>Indicators</td></tr>
<tr><td></td><td>Increase in quantity of news (hours of programming, number of shows, etc.) as a result of OTI program
Increase in quantity of news sources/media outlets (radio stations, newspapers, etc.) as a result of OTI program
% increase of population a) listening to radio, b) watching TV, c) reading the news as a result of OTI program
Increase in the # people listening to a particular show, reading a particular newspaper (as compared to before OTI support)
Increase in the % of population that believes available news sources are trustworthy (trust is thought to correlate with quality of media reporting and analysis)
Increase in the % of people who consider a particular media outlet (that OTI supports) is an important (and balanced) source of news and information
Increase in the % of media space/time devoted to news (versus entertainment)
Increase in the # of hours of programming/# of periodicals available to specific populations (rural groups, minority language groups, groups along border).
Increase in the # of non-state run news sources (measures plurality of views)</td></tr>
</table>

NOTES: